

Pre-Service Policies and Procedures Checklist

Agency's Policy #	Section Of reg SCL/MP	POLICY/PROCEDURE
	3	Written criteria for determining the eligibility of an individual for admission to services, including a protocol for admitting the individual and a means of documenting the admissions process. <i>Submit the form the agency will use to document the admission process. (SCL & MPW)</i>
	3	Procedure for documenting any denial for a service , the reason for the denial, and resources necessary to successfully support the denied SCL recipient. <i>(SCL & MPW)</i>
	3/4	Policy and procedures for termination , both voluntary and involuntary. <i>(SCL & MPW)</i>
	3	Procedures for transition planning for individual's admitted to and terminated from the agency including documentation of the transition process. <i>(SCL & MPW)</i>
	3	Written statement of missions and values which should; <i>(SCL & MPW)</i>
	3	<ul style="list-style-type: none"> • Support empowerment and informed decision-making
	3	<ul style="list-style-type: none"> • Support and assist people to remain connected to natural support networks
	3	<ul style="list-style-type: none"> • Promote dignity and self-worth
	3	Policies supportive of: <i>(SCL & MPW)</i> <ul style="list-style-type: none"> • The right to time, space, and opportunity for personal privacy; • The right to communicate, associate, and meet privately with the person of their choice; • The right to send and receive unopened mail; • The right to retain and use personal possessions including clothing and grooming articles; • The right to private, accessible use of the telephone.
	3	Have a grievance and appeals system that includes an external mechanism for review of complaints. <i>(SCL & MPW)</i>
	3	Written policies and procedures for communication and interaction with families and legal representatives of recipients which shall require; <i>(SCL & MPW)</i>
	3	<ul style="list-style-type: none"> • Timely response to inquiries;
	3	<ul style="list-style-type: none"> • Opportunity for interaction by direct care staff;
	3	<ul style="list-style-type: none"> • Prompt notification of unusual occurrences;
	3	<ul style="list-style-type: none"> • Visitation to the SCL recipient at reasonable times, without prior notice, and with due regard for the SCL recipient's right of privacy;
	3	<ul style="list-style-type: none"> • Involvement in decision making regarding the selection and direction of the services provided;
	3	<ul style="list-style-type: none"> • Consider the cultural, educational, language, and socio-economic characteristics of the family being supported.
	3/3	<i>(SCL)</i> Maintenance of fiscal and service records and incident reports for a minimum of six years from the date the service is provided, or six years past the age of 21 for a minor. <i>(MPW)</i> Fiscal reports, service records, and incident reports regarding services provided. The reports and records shall be retained for the longer of: <ol style="list-style-type: none"> 1. At least six (6) years from the date that a covered service is provided; or 2. For a minor, three (3) years after the recipient reaches the age of majority under state law.
	3	Procedure to ensure confidentiality of the SCL recipient's record and other personal info and to allow the recipient or legal representative to determine when to share info. <ul style="list-style-type: none"> • How will records be stored? • How will the agency ensure the confidentiality of electronic records, i.e. password protection, storing disks, flash drives, etc?

		(<i>SCL & MPW</i> - note there are differences in the SCL and MPW requirements for what is maintained in agency records. Located in Section 3(13) of SCL regulation and Section 3 of MPW regulation.)
	3	Written procedures for the availability of the record to the recipient or legal guardian, i.e. how would the individual/legal representative go about requesting to view or obtain copies of their record? (<i>SCL & MPW</i>)
	3	Role of the Board of Directors in the operation of the agency. (<i>SCL & MPW</i>) <ul style="list-style-type: none"> • Appoint and evaluate the ED, • Provide orientation to new board members, • Meet quarterly; • Maintain documentation of the discharge of its duties.
	3	Delegation of the authority and responsibility for the management of the affairs of the agency. (<i>SCL & MPW</i>)
	3	Written personnel guidelines for each employee which must address; (<i>SCL & MPW</i>) <ul style="list-style-type: none"> • salary, • vacation/leave time, • health insurance, • retirement, • continuing education, and • employee grievance procedures. • Procedure for evaluation of employees after probationary period and annually thereafter. • Procedure for corrective action.
	3	Personnel guidelines which include policies in compliance with waiver regulations for; (<i>SCL & MPW</i>) <ul style="list-style-type: none"> • TB risk assessment & if indicated a TB skin test; • Administrative Office of the Courts (AOC) criminal background checks; • A check of the Kentucky Nurse Aid Registry (KNAR); • A check of the Central Registry for child abuse or neglect (CAN). • Not employ an individual with a conviction as delineated in the regulation (abuse, neglect or exploitation; any drug related convictions during the past 5 years; a felony). • Not employ someone to transport a recipient, if the person has a DUI conviction during the past year.
	3	Written job descriptions and policies identifying required staff qualifications which meet regulatory requirements. (<i>SCL & MPW</i>) <ul style="list-style-type: none"> • Executive Director (ED), • Program Director (PD), • Supervisory Staff, • Direct Support Staff, • Other professional staff depending on the services for which certification is requested, i.e. Case Manager, Behavior Specialist, etc. <p>(Note the requirements for the staff person supervising the CM are different in MPW and SCL.)</p>
	3	Policies addressing competency-based training to each employee; (<i>SCL & MPW</i>) <ul style="list-style-type: none"> • Include specific training requirements and time frames (i.e. prior to independent functioning & etc) • If providing Supported Employment (SE) or Case Management (CM) specific training for those staff, and the need for Core Training. • Include Orientation to mission, goals, organization, and practice of the agency. • Include requirements for documenting training and orientation which meets regulatory

		requirements.
	3	Establish policy & guidelines concerning the operation of the agency that address the health, safety and welfare of a recipient supported by the agency. <i>(SCL & MPW)</i>
	3	Policies addressing the requirements for maintenance of sanitary conditions . <i>(SCL & MPW)</i>
	3	Policies addressing the presence of deadly weapons as defined in KRS 500.80. <i>(SCL & MPW)</i>
	3	Policies addressing the safe storage of common household items . <i>(SCL & MPW)</i>
	3	<p>Policies for ongoing monitoring of medication administration. This should be a <u>multi-level process</u> designed to <u>regularly</u> monitor medication administration, catch errors quickly, and prevent recurrence of errors. The procedure should identify who (staff position) will be responsible for the monitoring or each level of the process and how the agency will document this monitoring.</p> <p>This policy should include the requirement for documenting medication errors on the SCL or MPW Medication Error Report form. Part I of these forms must be submitted by every provider every month regardless of whether the agency administers medication and regardless of any errors. <i>(SCL & MPW)</i></p>
	3	<p>Policies and procedures for medication administration including; <i>(SCL & MPW)</i></p> <ul style="list-style-type: none"> • Appropriate storage, • documentation of all medication administered on a medication log, • documentation of PRN medication and their effectiveness, • appropriate disposal of medication and documentation of this, • discontinuance of medication and documentation of this, • the need for an individualized protocol for PRN behavior medication.
	3	<p>Written guidelines for handling an emergency or a disaster including; <i>(SCL & MPW)</i></p> <ul style="list-style-type: none"> • Emergency supplies; • Guidelines/procedures for evacuation or ensuring safe shelter; • Procedures for notification of agency administration, guardians/family, and others.
	3	<p>Policies in compliance with waiver requirements for: <i>(SCL & MPW)</i></p> <ul style="list-style-type: none"> • Notification procedures and alarm and signal systems to alert a recipient according to his or her disability. • Evacuation drills be conducted, documented, evaluated, and modified if needed.
	6/10	<p>Policies and protocols for incident reporting per DDID requirements. <i>(SCL & MPW)</i></p> <p>Including;</p> <ul style="list-style-type: none"> • Definitions of each class of incident; • Requirements for initial notification and reporting for each class of incident; • Requirements for investigation for each class of incident; • Requirements for final written reports for each class of incident.
	3	Policies addressing Abuse, Neglect, and Exploitation including definitions and protocols for reporting. <i>(SCL & MPW)</i>
	3	<p>Policies addressing the agency's philosophical approach in regards to positive behavior supports which should; <i>(SCL & MPW)</i></p> <ul style="list-style-type: none"> • Include a strong, person-centered value base which places dignity and respect for the person at its core. • Strive to understand each person in the context of their life and assist them in attaining a life they value. • Ensure that any attempt to alter behavior must also include protection of the person's constitutional, statutory and human rights. • Approach any behavior with the intent to improve the quality of life for the individual and incorporate gentle actions that absolutely minimize the need for any restrictive, punitive,

		<p>or physical interventions.</p> <ul style="list-style-type: none"> • Include the hierarchy of behavior interventions ranging from the least to the most restrictive. • Reflect the use of positive approaches. • (SCL) Prohibit the use of prone or supine restraint, corporal punishment, seclusion, verbal abuse, and any procedure which denies private communication, requisite sleep, shelter, bedding, food, drink, or use of a bathroom. • (MPW) Prohibit the use of restraints, seclusion, corporal punishment, verbal abuse, and any procedure which denies private communication, requisite sleep, shelter, bedding, food, drink, or use of a bathroom facility.
	3	<p>Policies and procedures for management of recipient funds including. <i>(SCL & MPW)</i></p> <ul style="list-style-type: none"> • Protocols for disbursement of funds to the individual, including spending money. • Separate accounting; • Providing to the recipient or legal representative account balances and records of transactions on a quarterly basis; • Notification of large balances that may affect Medicaid eligibility.
	3	<p>Policy outlining implementation of a Quality Improvement Plan which incorporates the SCL Outcomes. <i>(SCL & MPW)</i></p>
	4/7	<p>Definitions of Services for which certification is requested and procedures for documenting each service. At a minimum the requirement for documenting each service should meet the SCL and/or MPW regulatory requirement for each service. <i>(Note: there are differences in documentation requirements – for example MPW respite services require documenting progress, regression or maintenance on outcomes)</i></p>
	4	<p>Human Rights Committee (only required if certified for Case Management) <i>(SCL)</i></p> <ul style="list-style-type: none"> • role and responsibilities of the committee, • membership of the committee, • documentation of discharge of its duties.
	4	<p>Behavior Intervention Committee (only required if certified for Case Management) <i>(SCL)</i></p> <ul style="list-style-type: none"> • role and responsibilities of the committee, • membership of the committee, • documentation of discharge of its duties.